

**NEW UTILITY
PATENT APPLICATION
TRANSMITTAL**

(only for new nonprovisional applications under
37 CFR 1.53(b))

Attorney Docket Number 5069

First Named Inventor Richard W. Friesen

Total Pages in this
Submission 76

Express Mail Label No. EL566199206US

APPLICATION ELEMENTS

1. ☒ Fee Transmittal Form (in duplicate)
☒ Check Enclosed
2. ☒ Specification
(preferred arrangement set forth below)
 - ☒ Descriptive Title of the Invention
 - ☒ Cross Reference(s) to Related Case(s)
 - ☒ Statement Regarding Fed sponsored R & D
 - ☒ Background of the Invention
 - ☒ Brief Summary of the Invention
 - ☒ Brief Description of the Drawing(s)
 - ☒ Detailed Description
 - ☒ Claim or Claims
 - ☒ Abstract of the Disclosure
3. ☒ Drawing(s) (when necessary per 35 USC 113)
4. Oath or Declaration
 - a. ☒ New Declaration
☐ Executed
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
5. ☐ Incorporation by Reference (useable if Box 4b is
checked). The entire disclosure of the prior application,
from which a copy of the oath or declaration is supplied
under Box 4b, is considered as being part of the disclosure
of the accompanying application and is hereby incorporated
by reference therein.

ACCOMPANYING APPLICATION PARTS

6. ☐ Assignment & Assignment Recordation Cover Sheet
7. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
8. ☐ Information Disclosure Statement & PTO-1449
☐ Copies of IDS Citation(s)
9. ☐ Preliminary Amendment
10. Small Entity Statement
☒ New Statement enclosed
☐ Statement filed in prior application. Status still
proper and desired
11. ☒ Return Postcard
12. ☐
13. ☐
14. ☐
15. ☐
16. ☐

ADDRESS TO:

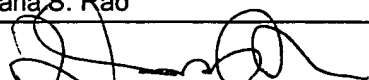
Box Patent Application
Commissioner for Patents
Washington, D.C. 20231

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No: 09/289,550

Prior application information: Examiner: Unknown Group/Art Unit: 2773

18. CORRESPONDENCE ADDRESS

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Name (Print/Type)	Dana S. Rao			Registration No. (Attorney/Agent)	43,875
Signature				Date	8/30/00

09-01-00

A

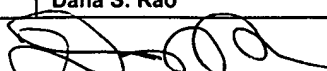
PTO/SB/17 (6-95)(modified)
Approved for use through 11/30/96, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TO(modified) Rev 0/95	U.S. Department of Commerce Patent and Trademark Office	Complete if Known	
FEE TRANSMITTAL		Application Number	Not Yet Known
		Filing Date	August 30, 2000
		First Named Inventor	Richard W. Friesen
		Group Art Unit	Not Yet Known
		Examiner Name	Not Yet Known
TOTAL AMOUNT OF PAYMENT		Attorney Docket Number	5069
Subtotal (1) + Subtotal (2) + Subtotal (3) =		(\$ 852.00)	

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																									
1. The Commissioner is hereby authorized to: <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account. <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. † <input type="checkbox"/> Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) to the below mentioned deposit account. Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP A Duplicate Copy of this authorization is attached 2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Other		3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity Fee Code/Fee</th> <th>Small Entity Fee Code/Fee</th> <th>Fee Description</th> <th>Fee Due</th> </tr> </thead> <tbody> <tr> <td>105/\$130</td> <td>205/\$65</td> <td>Surcharge - late filing fee or oath</td> <td><input type="text"/></td> </tr> <tr> <td>127/\$50</td> <td>227/\$25</td> <td>Surcharge-late provisional filing fee or cover sheet</td> <td><input type="text"/></td> </tr> <tr> <td>147/\$2,520</td> <td>147/\$2,520</td> <td>For filing a request for reexamination</td> <td><input type="text"/></td> </tr> <tr> <td>115/\$110</td> <td>215/\$55</td> <td>Extension for response within first month†</td> <td><input type="text"/></td> </tr> <tr> <td>116/\$380</td> <td>216/\$190</td> <td>Extension for response within second month†</td> <td><input type="text"/></td> </tr> <tr> <td>117/\$870</td> <td>217/\$435</td> <td>Extension for response within third month†</td> <td><input type="text"/></td> </tr> <tr> <td>118/\$1,360</td> <td>218/\$680</td> <td>Extension for response within fourth month†</td> <td><input type="text"/></td> </tr> <tr> <td>128/\$1,850</td> <td>228/\$925</td> <td>Extension for response within fifth month†</td> <td><input type="text"/></td> </tr> <tr> <td>119/\$300</td> <td>219/\$150</td> <td>Notice of Appeal</td> <td><input type="text"/></td> </tr> <tr> <td>141/\$1,210</td> <td>241/\$605</td> <td>Petition to revive unintentionally abandoned application</td> <td><input type="text"/></td> </tr> <tr> <td>142/\$1,210</td> <td>242/\$605</td> <td>Utility Issue Fee (Or Reissue)</td> <td><input type="text"/></td> </tr> <tr> <td>143/\$430</td> <td>243/\$215</td> <td>Design Issue Fee</td> <td><input type="text"/></td> </tr> <tr> <td>122/\$130</td> <td>122/\$130</td> <td>Petitions to the Commissioner</td> <td><input type="text"/></td> </tr> <tr> <td>123/\$50</td> <td>123/\$50</td> <td>Petitions related to provisional applications</td> <td><input type="text"/></td> </tr> <tr> <td>126/\$240</td> <td>126/\$240</td> <td>Submission of Information Disclosure Statement</td> <td><input type="text"/></td> </tr> <tr> <td>581/\$40</td> <td>581/\$40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td><input type="text"/></td> </tr> <tr> <td>146/\$690</td> <td>246/\$345</td> <td>Filing a submission after final rejection (37 CFR 1.129(a))</td> <td><input type="text"/></td> </tr> <tr> <td>149/\$690</td> <td>249/\$345</td> <td>For each additional invention to be examined (37 CFR 1.129(b))</td> <td><input type="text"/></td> </tr> <tr> <td colspan="2">Other fee (specify):</td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td colspan="2">Other fee (specify):</td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td colspan="2">SUBTOTAL (3)</td> <td colspan="2">(\$).00</td> </tr> </tbody> </table>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$65	Surcharge - late filing fee or oath	<input type="text"/>	127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<input type="text"/>	147/\$2,520	147/\$2,520	For filing a request for reexamination	<input type="text"/>	115/\$110	215/\$55	Extension for response within first month†	<input type="text"/>	116/\$380	216/\$190	Extension for response within second month†	<input type="text"/>	117/\$870	217/\$435	Extension for response within third month†	<input type="text"/>	118/\$1,360	218/\$680	Extension for response within fourth month†	<input type="text"/>	128/\$1,850	228/\$925	Extension for response within fifth month†	<input type="text"/>	119/\$300	219/\$150	Notice of Appeal	<input type="text"/>	141/\$1,210	241/\$605	Petition to revive unintentionally abandoned application	<input type="text"/>	142/\$1,210	242/\$605	Utility Issue Fee (Or Reissue)	<input type="text"/>	143/\$430	243/\$215	Design Issue Fee	<input type="text"/>	122/\$130	122/\$130	Petitions to the Commissioner	<input type="text"/>	123/\$50	123/\$50	Petitions related to provisional applications	<input type="text"/>	126/\$240	126/\$240	Submission of Information Disclosure Statement	<input type="text"/>	581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<input type="text"/>	146/\$690	246/\$345	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="text"/>	149/\$690	249/\$345	For each additional invention to be examined (37 CFR 1.129(b))	<input type="text"/>	Other fee (specify):		<input type="text"/>	<input type="text"/>	Other fee (specify):		<input type="text"/>	<input type="text"/>	SUBTOTAL (3)		(\$).00	
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* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Dana S. Rao	Reg. Number	43,875
Signature		Date	8/30/00

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby
Rev. 11/04/99

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN

Docket Number (Optional):
5069

Applicant or Patentee: Richard W. Friesen and Mark C. Klizas

Application or Patent No.:

Filing Date or Issue Date:

Title: User Interface for Semi-Fungible Trading

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN ePIT Inc.

ADDRESS OF SMALL BUSINESS CONCERN 351 California Street, 14th Floor

San Francisco, CA 94104

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

☒ the specification filed herewith with title as listed above.

☐ the application identified above.

☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each such person, concern or organization having any rights in the invention is listed below:

☒ No such person, concern, or organization exists.

☐ Each such person, concern or organization is listed below:

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING

TITLE OF PERSON IF OTHER THAN OWNER

ADDRESS OF PERSON SIGNING

SIGNATURE

DATE